

**TITLE 9. ELECTIONS**

**CHAPTER 150: ELECTIONS: CAMPAIGN FINANCING  
and**

**CHAPTER 150A: COMPUTERIZATION OF CAMPAIGN  
FINANCE STATEMENTS AND DATA**

**Effective July 1, 2005**

§ 9-333. Application of provisions.....	1
§ 9-333a. General definitions.....	1
§ 9-333b. Contribution defined.....	2
§ 9-333c. Expenditure defined.....	3
§ 9-333d. Designation of campaign treasurer and depository institution. Certification. Persons authorized to receive contributions. Duties of campaign treasurer. Personal jurisdiction of State Elections Enforcement Commission over nonresidents. ....	4
§ 9-333e. Filing of statements and certification. ....	4
§ 9-333f. Formation of committee by candidate. Exceptions. Exploratory committees. Convention delegate slates. ....	5
§ 9-333g. Political committees; designation of campaign treasurer; statement of organization, time for filing, contents of statement. Exception. ....	6
§ 9-333h. Duties and qualifications of campaign treasurers. Appointment and duties of solicitors. ....	6
§ 9-333i. Making of expenditures. ....	7
§ 9-333j. Statements to be filed by campaign treasurers. Treatment of surplus or deficit. ....	9
§ 9-333k. Party committees; designation as campaign treasurer. Limitation on multiple committees. Fund-raising events and testimonial affairs. ....	12
§ 9-333l. Expense sharing by committees. Candidate's expenditures. Use of public funds by incumbent or for promotional campaign or advertisement. Prohibitions on certain lobbyist contributions. Statements to be filed by lobbyists. ....	12
§ 9-333m. Limits on contributions made by individuals to candidate committees, exploratory committees. When contributions by personal check or credit card required. Contributions by individuals less than sixteen years of age. ...	14
§ 9-333n. Other contributions by individuals. ....	14
§ 9-333o. Business entities. ....	15
§ 9-333p. Organizations. ....	16
§ 9-333q. Limits on contributions made by political committees established by organizations. ....	16
§ 9-333r. Contributions made or received by candidate committees. ....	16
§ 9-333s. Contributions made or received by party committees. ....	16
§ 9-333t. Contributions made or received by political committees organized for ongoing political activities. ....	17
§ 9-333u. Contributions made or received by committees established for a single primary or election. ....	17
§ 9-333v. Contributions made or received by committees formed to promote success or defeat of referendum questions. Reporting requirements. ....	17
§ 9-333w. Political advertising. ....	17
§ 9-333x. Illegal practices. ....	18

§ 9-333y. Penalties.....	18
§ 9-346a. Preparation and distribution of forms; town clerk's fee. ....	19
§ 9-346b. Powers of state referees and judges. Preservation of testimony. Witnesses. Expenses of inquiry. ....	19
§ 9-348ee. Filing of campaign finance statements in electronic form. ....	20
§ 9-348ff. Conversion of data from paper format to electronic format. ....	20
§ 9-348gg. Public access to computerized data from campaign finance statements. ....	20

**§ 9-333. Application of provisions.**

This chapter applies to: (1) The election, and all primaries preliminary thereto, of all public officials, except presidential electors, United States senators and members in Congress, and (2) any referendum question. This chapter also applies, except for the provisions of sections 9-333m to 9-333v, inclusive, to persons who are candidates in a primary for town committee members.

**§ 9-333a. General definitions.**

As used in this chapter:

(1) "Committee" means a party committee, political committee or a candidate committee organized, as the case may be, for a single primary, election or referendum, or for ongoing political activities, to aid or promote the success or defeat of any political party, any one or more candidates for public office or the position of town committee member or any referendum question.

(2) "Party committee" means a state central committee or a town committee. "Party committee" does not mean a party-affiliated or district, ward or borough committee which receives all of its funds from the state central committee of its party or from a single town committee with the same party affiliation. Any such committee so funded shall be construed to be a part of its state central or town committee for purposes of this chapter.

(3) "Political committee" means (A) a committee organized by a business entity or organization, (B) persons other than individuals, or two or more individuals organized or acting jointly conducting their activities in or outside the state, (C) a committee established by a candidate to determine the particular public office to which he shall seek nomination or election, and referred to in this chapter as an exploratory committee or (D) a committee established by or on behalf of a slate of candidates in a primary for the office of justice of the peace, but does not mean a candidate committee or a party committee.

(4) "Candidate committee" means any committee designated by a single candidate, or established with the consent, authorization or cooperation of a candidate, for the purpose of a single primary or election and to aid or promote his candidacy alone for a particular public office or the position of town committee member, but does not mean a political committee or a party committee.

(5) "National committee" means the organization which according to the bylaws of a political party is responsible for the day-to-day operation of the party at the national level.

(6) "Organization" means all labor organizations, (A) as defined in the Labor-Management Reporting and Disclosure Act of 1959, as from time to time amended, or (B) as defined in subdivision (9) of section 31-101, employee organizations as defined in subsection (d) of section 5-270 and subdivision (6) of section 7-467, bargaining representative organizations for teachers, any local, state or national organization, to which a labor organization pays membership or per capita fees, based upon its affiliation or membership, and trade or professional associations which receive their funds exclusively from membership dues, whether organized in or outside of this state, but does not mean a candidate committee, party committee or a political committee.

(7) "Business entity" means the following, whether organized in or outside of this state: Stock corporations, banks, insurance companies, business associations, bankers associations, insurance associations, trade or professional associations which receive funds from membership dues and other sources, partnerships, joint ventures, private foundations, as defined in Section 509 of the Internal Revenue Code of 1986, or any subsequent corresponding internal revenue code of the United States, as from time to time amended; trusts or estates; corporations organized under sections 38a-175 to 38a-192, inclusive, 38a-199 to 38a-209, inclusive, and 38a-214 to 38a-225, inclusive, and chapters 594 to 597, inclusive; cooperatives, and any other association, organization or entity which is engaged in the operation of a business or profit-making activity; but does not include professional service corporations organized under chapter 594a and owned by a single individual, nonstock corporations which are not engaged in business or profit-making activity, organizations, as defined in subdivision (6) of this section, candidate committees, party committees and political committees as defined in this section. For purposes of this chapter, corporations which are component members of a controlled group of corporations, as those terms are defined in Section 1563 of the Internal Revenue Code of 1986, or any subsequent corresponding internal revenue code of the United States, as from time to time amended, shall be deemed to be one corporation.

(8) "Individual" means a human being, a sole proprietorship, or a professional service corporation organized under chapter 594a and owned by a single human being.

(9) "Person" means an individual, committee, firm, partnership, organization, association, syndicate, company trust, corporation, limited liability company or any other legal entity of any kind but does not mean the state or any political or administrative subdivision of the state.

(10) "Candidate" means an individual who seeks nomination for election or election to public office whether or not such individual is elected, and for the purposes of this chapter an individual shall be deemed to seek nomination for election or election if he has (A) been endorsed by a party or become eligible for a position on the ballot at an election or primary or (B) solicited or received contributions or made expenditures or given his consent to any other person to solicit or receive contributions or make expenditures with the intent to bring about his nomination for election or election to any such office. "Can-

didate" also means a slate of candidates which is to appear on the ballot in a primary for the office of justice of the peace. For the purposes of sections 9-333 to 9-333l, inclusive, and section 9-333w, "candidate" also means an individual who is a candidate in a primary for town committee members.

(11) "Campaign treasurer" means the individual appointed by a candidate or by the chairman of a party committee or a political committee to receive and disburse funds on behalf of the candidate or committee.

(12) "Deputy campaign treasurer" means the individual appointed by the candidate or by the chairman of a committee to serve in the capacity of the campaign treasurer if the campaign treasurer is unable to perform his duties.

(13) "Solicitor" means an individual appointed by a campaign treasurer of a committee to receive, but not to disburse, funds on behalf of the committee.

(14) "Referendum question" means a question to be voted upon at any election or referendum, including a proposed constitutional amendment.

(15) "Lobbyist" means a lobbyist as defined in subsection (1) of section 1-91.

(16) "Business with which he is associated" means any business in which the contributor is a director, officer, owner, limited or general partner or holder of stock constituting five per cent or more of the total outstanding stock of any class. Officer refers only to the president, executive or senior vice-president or treasurer of such business.

(17) "Independent expenditure" means an expenditure that is made without the consent, knowing participation, or consultation of, a candidate or agent of the candidate committee. "Independent expenditure" does not include an expenditure (a) if there is any coordination or direction with respect to the expenditure between the candidate or the treasurer, deputy treasurer or chairman of his candidate committee and the person making the expenditure or (b) if, during the same election cycle, the individual making the expenditure serves or has served as the treasurer, deputy treasurer or chairman of the candidate committee.

(18) "Federal account" means a depository account that is subject to the disclosure and contribution limits provided under the Federal Election Campaign Act of 1971, as amended from time to time.

(19) "Public funds" means funds belonging to, or under the control of, the state or a political subdivision of the state.

#### **§ 9-333b. Contribution defined.**

(a) As used in this chapter, "contribution" means:

(1) Any gift, subscription, loan, advance, payment or deposit of money or anything of value, made for the purpose of influencing the nomination for election, or election, of any person or for the purpose of aiding or promoting the success or defeat of any referendum question or on behalf of any political party;

(2) A written contract, promise or agreement to make a contribution for any such purpose;

(3) The payment by any person, other than a candidate or campaign treasurer, of compensation for the personal services

of any other person which are rendered without charge to a committee or candidate for any such purpose;

(4) An expenditure when made by a person with the cooperation of, or in consultation with, any candidate, candidate committee or candidate's agent or which is made in concert with, or at the request or suggestion of, any candidate, candidate committee or candidate's agent; or

(5) Funds received by a committee which are transferred from another committee or other source for any such purpose.

(b) As used in this chapter, "contribution" does not mean:

(1) A loan of money made in the ordinary course of business by a national or state bank;

(2) Any communication made by a corporation, organization or association to its members, owners, stockholders, executive or administrative personnel, or their families;

(3) Nonpartisan voter registration and get-out-the-vote campaigns by any corporation, organization or association aimed at its members, owners, stockholders, executive or administrative personnel, or their families;

(4) Uncompensated services provided by individuals volunteering their time;

(5) The use of real or personal property, and the cost of invitations, food or beverages, voluntarily provided by an individual to a candidate or on behalf of a state central or town committee, in rendering voluntary personal services for candidate or party-related activities at the individual's residence, to the extent that the cumulative value of the invitations, food or beverages provided by the individual on behalf of any single candidate does not exceed two hundred dollars with respect to any single election, and on behalf of all state central and town committees does not exceed four hundred dollars in any calendar year;

(6) The sale of food or beverage for use in a candidate's campaign or for use by a state central or town committee at a discount, if the charge is not less than the cost to the vendor, to the extent that the cumulative value of the discount given to or on behalf of any single candidate does not exceed two hundred dollars with respect to any single election, and on behalf of all state central and town committees does not exceed four hundred dollars in a calendar year;

(7) Any unreimbursed payment for travel expenses made by an individual who on the individual's own behalf volunteers the individual's personal services to any single candidate to the extent the cumulative value does not exceed two hundred dollars with respect to any single election, and on behalf of all state central or town committees does not exceed four hundred dollars in a calendar year;

(8) The payment, by a party committee, political committee or an individual, of the costs of preparation, display, mailing or other distribution incurred by the committee or individual with respect to any printed slate card, sample ballot or other printed list containing the names of three or more candidates;

(9) The donation of any item of personal property by an individual to a committee for a fund-raising affair, including a tag sale or auction, or the purchase by an individual of any such item at such an affair, to the extent that the cumulative value donated or purchased does not exceed fifty dollars;

(10) The purchase of advertising space which clearly identifies the purchaser, in a program for a fund-raising affair, provided the cumulative purchase of such space does not exceed two hundred fifty dollars from any single candidate or the candidate's committee with respect to any single election campaign or two hundred fifty dollars from any single party committee or other political committee in any calendar year if the purchaser is a business entity or fifty dollars for purchases by any other person;

(11) The payment of money by a candidate to the candidate's candidate committee;

(12) The donation of goods or services by a business entity to a committee for a fund-raising affair, including a tag sale or auction, to the extent that the cumulative value donated does not exceed one hundred dollars;

(13) The advance of a security deposit by an individual to a telephone company, as defined in section 16-1, as amended, for telecommunications service for a committee, provided the security deposit is refunded to the individual;

(14) The provision of facilities, equipment, technical and managerial support, and broadcast time by a community antenna television company, as defined in section 16-1, as amended, for community access programming pursuant to section 16-331a, unless (A) the major purpose of providing such facilities, equipment, support and time is to influence the nomination or election of a candidate, or (B) such facilities, equipment, support and time are provided on behalf of a political party; or

(15) The sale of food or beverage by a town committee to an individual at a town fair, county fair or similar mass gathering held within the state, to the extent that the cumulative payment made by any one individual for such items does not exceed fifty dollars.

### **§ 9-333c. Expenditure defined.**

(a) As used in this chapter, the term "expenditure" means:

(1) Any purchase, payment, distribution, loan, advance, deposit or gift of money or anything of value, when made for the purpose of influencing the nomination for election, or election, of any person or for the purpose of aiding or promoting the success or defeat of any referendum question or on behalf of any political party;

(2) Any advertisement that (A) refers to one or more clearly identified candidates, (B) is broadcast by radio or television other than on a public access channel, or appears in a newspaper, magazine or on a billboard, and (C) is broadcast or appears during the ninety-day period preceding the date of an election, other than a commercial advertisement that refers to an owner, director or officer of a business entity who is also a candidate and that had previously been broadcast or appeared when the owner, director or officer was not a candidate; or

(3) The transfer of funds by a committee to another committee.

(b) The term "expenditure" does not mean:

(1) A loan of money, made in the ordinary course of business, by a state or national bank;

(2) A communication made by any corporation, organization or association to its members, owners, stockholders, executive or administrative personnel, or their families;

(3) Nonpartisan voter registration and get-out-the-vote campaigns by any corporation, organization or association aimed at its members, owners, stockholders, executive or administrative personnel, or their families;

(4) Uncompensated services provided by individuals volunteering their time;

(5) Any news story, commentary or editorial distributed through the facilities of any broadcasting station, newspaper, magazine or other periodical, unless such facilities are owned or controlled by any political party, committee or candidate;

(6) The use of real or personal property, and the cost of invitations, food or beverages, voluntarily provided by an individual to a candidate or on behalf of a state central or town committee, in rendering voluntary personal services for candidate or party-related activities at the individual's residence, to the extent that the cumulative value of the invitations, food or beverages provided by the individual on behalf of any single candidate for nomination or election does not exceed two hundred dollars with respect to any single election, and on behalf of all state central and town committees does not exceed four hundred dollars in a calendar year; or

(7) Any unreimbursed payment for travel expenses made by an individual who, on his own behalf, volunteers his personal services to any single candidate to the extent that the cumulative value does not exceed two hundred dollars with respect to any single election, and on behalf of all state or town committees does not exceed four hundred dollars in a calendar year.

(c) "Expense incurred but not paid" means any receipt of goods or services for which payment is required but not made or a written contract, promise or agreement to make an expenditure.

**§ 9-333d. Designation of campaign treasurer and depository institution. Certification. Persons authorized to receive contributions. Duties of campaign treasurer. Personal jurisdiction of State Elections Enforcement Commission over nonresidents.**

(a) Except with respect to an individual acting on his own, no contributions may be made, solicited or received and no expenditures may be made, directly or indirectly, in aid of or in opposition to the candidacy for nomination or election of any individual or any party or referendum question, unless (1) the candidate or chairman of the committee has filed a designation of a campaign treasurer and a depository institution situated in this state as the depository for the committee's funds or (2) the candidate or, in the event of a referendum question, a group of individuals has filed a certification in accordance with the provisions of section 9-333f or 9-333g, as the case may be. In the case of a political committee, the filing of the statement of organization by the chairman of such committee, in accordance with the provisions of section 9-333g shall constitute compliance with the provisions of this subsection.

(b) No contribution in aid of or in opposition to the candidacy of any person or to any party or referendum question shall be made at any time, except to the committee's campaign treasurer whose designation is on file with the proper authority, a solicitor, a candidate who is exempt from the requirement to form a candidate committee and has filed a certification, or a

group of individuals which have joined solely to support or oppose a referendum question and have filed a certification.

(c) An individual who is designated as campaign treasurer of a committee shall be responsible for all duties required of him under this chapter until the committee is terminated. The campaign treasurer shall be relieved of such duties upon his permanent incapacity, resignation or replacement, provided a statement to that effect is filed with the proper authority, as provided in section 9-333e. In the event of the death of the campaign treasurer or after a statement has been filed concerning the campaign treasurer's incapacity, resignation or replacement, if a deputy campaign treasurer has been designated, the deputy campaign treasurer shall be responsible for all duties required of the campaign treasurer under this chapter until the candidate or chairman of the committee files with the proper authority a designation of a successor campaign treasurer. If a deputy campaign treasurer has not been designated, the candidate or chairman shall designate a successor campaign treasurer and file such designation with the proper authority not more than ten days after the death of the campaign treasurer or the filing of the statement of his incapacity, resignation or replacement.

(d) (1) In addition to its jurisdiction over persons who are residents of this state, the State Elections Enforcement Commission may exercise personal jurisdiction over any nonresident person, or the agent of such nonresident person, who makes a payment of money, gives anything of value or makes a contribution or expenditure, in excess of two hundred dollars, to or for the benefit of any committee or candidate.

(2) Where personal jurisdiction is based solely upon this subsection, an appearance does not confer personal jurisdiction with respect to causes of action not arising from an act enumerated in this subsection.

(3) Any nonresident person or the agent of such person over whom the State Elections Enforcement Commission may exercise personal jurisdiction, as provided in subdivision (1) of this subsection, shall be deemed to have appointed the Secretary of the State as the person's or agent's attorney and to have agreed that any process in any complaint, investigation or other matter conducted pursuant to section 9-7b and brought against the nonresident person, or said person's agent, may be served upon the Secretary of the State and shall have the same validity as if served upon such nonresident person or agent personally. The process shall be served upon the Secretary of the State by the officer to whom the same is directed by leaving with or at the office of the Secretary of the State, at least twelve days before any required appearance day of such process, a true and attested copy of such process, and by sending to the nonresident person or agent so served, at the person's or agent's last-known address, by registered or certified mail, postage prepaid, return receipt requested, a like and attested copy with an endorsement thereon of the service upon the Secretary of the State. The Secretary of the State shall keep a record of each such process and the day and hour of service.

**§ 9-333e. Filing of statements and certification.**

(a) Statements filed by party committees, political committees formed to aid or promote the success or defeat of a referendum question proposing a constitutional convention, constitutional amendment or revision of the constitution, individual

lobbyists, and those political committees and candidate committees formed to aid or promote the success or defeat of any candidate for the office of Governor, Lieutenant Governor, Secretary of the State, Treasurer, Comptroller, Attorney General, judge of probate and members of the General Assembly, shall be filed with the office of the Secretary of the State. A copy of each statement filed by a town committee shall be filed at the same time with the town clerk of the municipality in which the committee is situated. A political committee formed for a slate of candidates in a primary for the office of justice of the peace shall file statements with both the secretary of the state and the town clerk of the municipality in which the primary is to be held.

(b) Statements filed by political committees formed solely to aid or promote the success or defeat of a referendum question to be voted upon by the electors of a single municipality and those political committees or candidate committees formed to aid or promote the success or defeat of any candidate for public office, other than those enumerated in subsection (a), or the position of town committee member shall be filed only with the town clerk of the municipality in which the election or referendum is to be held. Each unsalaried town clerk shall be entitled to receive ten cents from the town for the filing of each such statement.

(c) A certification of a candidate who is exempt from the requirement of subsection (a) of section 9-333f to form a candidate committee shall be filed with the Secretary of the State if the candidate seeks an office enumerated in subsection (a) of this section, or with the town clerk of the municipality in which the election is to be held if the candidate seeks an office other than those enumerated. A certification of a group of individuals who have joined solely to aid or promote a referendum question and who are exempt from the requirement to form a political committee under section 9-333g shall be filed with the town clerk of each municipality in which the referendum is to be held.

**§ 9-333f. Formation of committee by candidate. Exceptions. Exploratory committees. Convention delegate slates.**

(a) Each candidate for a particular public office or the position of town committee member shall form a single candidate committee for which he shall designate a campaign treasurer and a depository institution situated in this state as the depository for the committee's funds and shall file a committee statement containing such designations, not later than ten days after becoming a candidate, with the proper authority as required by section 9-333e. The candidate may also designate a deputy campaign treasurer on such committee statement. The campaign treasurer and any deputy campaign treasurer so designated shall sign a statement accepting such designation which the candidate shall include as part of, or file with, the committee statement.

(b) The formation of a candidate committee by a candidate and the filing of statements pursuant to section 9-333j shall not be required if the candidate files a certification with the proper authority required by section 9-333e, not later than ten days after becoming a candidate, and any of the following conditions exist for the campaign: (1) The candidate is one of a slate of candidates whose campaigns are funded solely by a party committee or a political committee formed for a single election or primary and expenditures made on behalf of the candidate's

campaign are reported by the committee sponsoring the candidate's candidacy; (2) the candidate finances the candidate's campaign entirely from personal funds and does not solicit or receive contributions, provided if said candidate personally makes an expenditure or expenditures in excess of one thousand dollars to, or for the benefit of, said candidate's campaign for nomination at a primary or election to an office or position, said candidate shall file statements according to the same schedule and in the same manner as is required of a campaign treasurer of a candidate committee under section 9333j; 3) the candidate does not receive or expend funds in excess of one thousand dollars; or (4) the candidate does not receive or expend any funds, including personal funds, for the candidate's campaign. If the candidate no longer qualifies for the exemption under any of these conditions, the candidate shall comply with the provisions of subsection (a) of this section, not later than three business days thereafter and shall provide the candidate's designated campaign treasurer with all information required for completion of the treasurer's statements and filings as required by section 9-333j. If the candidate no longer qualifies for the exemption due to the condition stated in the candidate's certification but so qualifies due to a different condition specified in this subsection, the candidate shall file an amended certification with the proper authority and provide the new condition for the candidate's qualification not later than three business days following the change in circumstances of the financing of the candidate's campaign. The filing of a certification under this subsection shall not relieve the candidate from compliance with the provisions of this chapter.

(c) The chairman of a political committee formed to support a single candidate for public office shall, not later than seven days after filing a statement of organization with the proper authority under section 9-333e, send the candidate a notice, by certified mail, of such filing. If a candidate (1) does not, within fourteen days after receiving such notice, disavow such committee, in writing, to the proper authority under section 9-333e, or (2) disavows such committee within such period, but, at any time before such disavowal, accepts funds from the committee for his campaign, such committee shall be deemed to have been authorized by such candidate and shall constitute a candidate committee for the purposes of this chapter. No candidate shall establish, agree to or assist in establishing, or give his consent or authorization to establishing a committee other than a single candidate committee to promote his candidacy for any public office except that a candidate may establish a single political committee, for a single election or primary, for the sole purpose of determining whether to seek (A) nomination or election to the General Assembly, (B) a state office, as defined in subsection (e) of section 9-333l, or (C) nomination or election to any other public office. The candidate shall designate such purpose on the statement of organization. Not later than fifteen days after a public declaration by the candidate of his intention to seek nomination or election to the General Assembly, a state office, as so defined, or any other particular public office, the candidate shall form a single candidate committee.

(d) A slate of candidates in a primary for the office of justice of the peace shall designate a chairperson to form a single political committee to comply with the requirements of section 9-333g, except (1) if the individuals on the slate unanimously consent to have their campaign financed solely by a town committee and such committee consents to such financing by filing

a statement of consent with both the Secretary of the State and the town clerk of the municipality in which the primary is to be held, or (2) in the case of a primary for convention delegates to a United States senatorial or congressional district convention, the candidate on whose behalf the slate is committed has filed a registration of a committee with the Federal Election Commission, and that committee is solely financing the primary campaign for said delegates.

**§ 9-333g. Political committees; designation of campaign treasurer; statement of organization, time for filing, contents of statement. Exception.**

(a) The chairperson of each political committee shall designate a campaign treasurer and may designate a deputy campaign treasurer. The campaign treasurer and any deputy campaign treasurer so designated shall sign a statement accepting the designation. The chairperson of each political committee shall file a statement of organization along with the statement signed by the designated campaign treasurer and deputy campaign treasurer with the proper authority, within ten days after its organization, provided that the chairperson of any political committee organized within ten days prior to any primary, election or referendum in connection with which it intends to make any contributions or expenditures, shall immediately file a statement.

(b) The statement shall include: (1) The name and address of the committee; (2) a statement of the purpose of the committee; (3) the name and address of its campaign treasurer, and deputy campaign treasurer if applicable; (4) the name, address and position of its chairman, and other principal officers if applicable; (5) the name and address of the depository institution for its funds; (6) the name of each person, other than an individual, that is a member of the committee; (7) the name and party affiliation of each candidate whom the committee is supporting and the office or position sought by each candidate; (8) if the committee is supporting the entire ticket of any party, a statement to that effect and the name of the party; (9) if the committee is supporting or opposing any referendum question, a brief statement identifying the substance of the question; (10) if the committee is established by a business entity or organization, the name of the entity or organization; (11) if the committee is established by an organization, whether it will receive its funds from the organization's treasury or from voluntary contributions; (12) if the committee files reports with the Federal Elections Commission or any out-of-state agency, a statement to that effect including the name of the agency; (13) a statement indicating whether the committee is established for a single primary, election or referendum or for ongoing political activities; and (14) if the committee is established by or on behalf of a lobbyist, a statement to that effect and the name of the lobbyist.

(c) The chairman of each political committee shall report any addition to or change in information previously submitted in a statement of organization to the proper authority within ten days after the addition or change.

(d) A group of two or more individuals who have joined solely to promote the success or defeat of a referendum question shall not be required to file as a political committee, make such designations in accordance with subsections (a) and (b) of this section or file statements pursuant to section 9-333j if the group does not receive or expend in excess of one thousand dollars for the entire campaign and the agent of such individu-

als files a certification with the proper authority or authorities as required under section 9-333e before an expenditure is made. The certification shall include the name of the group, or the names of the persons who comprise the group, and the name and address of the agent which shall appear on any communication paid for or sponsored by the group as required by section 9-333w. If the group receives or expends in excess of one thousand dollars, the agent shall complete the statement of organization and file as a political committee not later than three business days thereafter. The agent shall provide the designated campaign treasurer with all information required for completion of the statements for filing as required by section 9-333j. The filing of a certification under this subsection shall not relieve the group from compliance with the provisions of this chapter, and the group shall be considered a political committee established solely for a referendum question for purposes of the limitations on contributions and expenditures.

**§ 9-333h. Duties and qualifications of campaign treasurers. Appointment and duties of solicitors.**

(a) The campaign treasurer of each committee shall be responsible for (1) depositing, receiving and reporting all contributions and other funds in the manner specified in section 9-333j, (2) making and reporting expenditures, (3) reporting expenses incurred but not yet paid, (4) filing the statements required under section 9-333j, and (5) keeping internal records of each entry made on such statements. The campaign treasurer of each committee shall deposit contributions in the committee's designated depository within fourteen days after receiving them. The campaign treasurer of each political committee or party committee which makes a contribution of goods to another committee shall send written notice to the campaign treasurer of the recipient committee before the close of the reporting period during which the contribution was made. The notice shall be signed by the campaign treasurer of the committee making the contribution and shall include the full name of such committee, the date on which the contribution was made, a complete description of the contribution and the value of the contribution. Any dispute concerning the information contained in such notice shall be resolved by the campaign treasurer of the recipient committee. Such resolution shall not impair in any way the authority of the State Elections Enforcement Commission under section 9-7b. The campaign treasurer of the recipient committee shall preserve each such notice received for the period prescribed by subsection (f) of section 9-333i.

(b) A contribution in the form of a check drawn on a joint bank account shall, for the purpose of allocation, be deemed to be a contribution made by the individual who signed the check. If a check is signed by more than one individual, the total amount of the check shall be divided equally among the cosigners for the purpose of allocation. If a committee receives an anonymous contribution of more than fifteen dollars the campaign treasurer shall immediately remit the contribution to the State Treasurer. The State Treasurer shall deposit the contribution in the General Fund.

(c) The campaign treasurer of each committee, other than a political committee established by an organization which receives its funds from the organization's treasury, may appoint solicitors. If solicitors are appointed, the campaign treasurer shall receive and report all contributions made or promised to each solicitor. Each solicitor shall submit to the campaign treas-

urer a list of all contributions made or promised to him. The list shall be complete as of seventy-two hours immediately preceding midnight of the day preceding the dates on which the campaign treasurer is required to file a sworn statement as provided in section 9-333j. Lists shall be received by the campaign treasurer not later than twenty-four hours immediately preceding each required filing date. Each solicitor shall deposit all contributions with the campaign treasurer, within seven days after receipt. No solicitor shall expend any contributions received by him or disburse such contributions to any person other than the campaign treasurer.

(d) No person shall act as a campaign treasurer or deputy campaign treasurer unless the person is an elector of this state, and a statement, signed by the chairman in the case of a party committee or political committee or by the candidate in the case of a candidate committee, designating the person as campaign treasurer or deputy campaign treasurer has been filed in accordance with section 9-333e. In the case of a political committee, the filing of a statement of organization by the chairman of the committee, in accordance with the provisions of section 9-333g, shall constitute compliance with the filing requirements of this section. No provision of this subsection shall prevent the campaign treasurer, deputy campaign treasurer or solicitor of any committee from being the campaign treasurer, deputy campaign treasurer or solicitor of any other committee or prevent any committee from having more than one solicitor, but no candidate shall have more than one campaign treasurer. A candidate shall not serve as the candidate's own campaign treasurer or deputy campaign treasurer, except that a candidate who is exempt from forming a candidate committee under subsection (b) of section 9-333f and has filed a certification that the candidate is financing the candidate's campaign from the candidate's own personal funds or is not receiving or expending in excess of one thousand dollars may perform the duties of a campaign treasurer for the candidate's own campaign.

#### **§ 9-333i. Making of expenditures.**

(a) **Authorization by campaign treasurer.** No financial obligation shall be incurred by a committee unless authorized by the campaign treasurer, except that certain expenditures of a candidate's personal funds may be reimbursed as provided in subsection (k) of this section.

(b) **Nonliability for unauthorized debts.** No candidate, campaign treasurer, or committee shall be liable for any debt incurred in aid of or in opposition to any political party, referendum question or the candidacy of any person or persons for said offices or positions unless such debt was incurred pursuant to an authorization issued under subsection (a) of this section.

(c) **Election day expenditures.** On any day on which an election or primary is being held, the campaign treasurer of any committee which functions as a town committee may give a check to one individual in each voting district of the municipality in which the election or primary is being held. The check shall be drawn by the campaign treasurer against the committee's depository institution account to the order of such individual in an amount not to exceed two hundred fifty dollars. Such individual may use the proceeds of the check to make cash expenditures in such voting district for per diem allotments to campaign workers, or expenses incurred by campaign workers on election or primary day, including but not limited to, food, beverages, gasoline and other similar ordinary and necessary

expenses. Such individual shall submit to the campaign treasurer, within forty-eight hours after the closing of the polls, a detailed accounting of all such expenditures. The campaign treasurer shall report the names of all such individuals and the expenditures made by them in accordance with the provisions of section 9-333j.

(d) **Payment by treasurer.** Except as provided in subsections (j) and (k) of this section, no payment in satisfaction of any financial obligation incurred by a committee shall be made by or accepted from any person other than the campaign treasurer and then only according to the tenor of an authorization issued pursuant to subsection (a) of this section.

(e) **Method of payment. Petty cash fund.** Any such payment shall be by check drawn by the campaign treasurer, on the designated depository. Any payment in satisfaction of any financial obligation incurred by a committee may also be made by debit card or credit card. (2) The campaign treasurer of each committee may draw a check, not to exceed one hundred dollars, to establish a petty cash fund and may deposit additional funds to maintain it, but the fund shall not exceed one hundred dollars at any time. All expenditures from a petty cash fund shall be reported in the same manner as any other expenditure.

(f) **Preservation of internal records, checks and bank statements.** The campaign treasurer shall preserve all internal records of transactions required to be entered in reports filed pursuant to section 9-333j for four years from the date of the report in which the transactions were entered. Internal records required to be maintained in order for any permissible expenditure to be paid from committee funds include, but are not limited to, contemporaneous invoices, receipts, bills, statements, itineraries, or other written or documentary evidence showing the campaign or other lawful purpose of the expenditure. If a committee incurs expenses by credit card, the campaign treasurer shall preserve all credit card statements and receipts for four years from the date of the report in which the transaction was required to be entered. If any checks are issued pursuant to subsection (e) of this section, the campaign treasurer who issues them shall preserve all cancelled checks and bank statements for four years from the date on which they are issued. If debit card payments are made pursuant to subsection (e) of this section, the campaign treasurer who makes said payments shall preserve all debit card slips and bank statements for four years from the date on which the payments are made. In the case of a candidate committee, the campaign treasurer or the candidate, if the candidate so requests, shall preserve all internal records, cancelled checks, debit cards slips and bank statements for four years from the date of the last report required to be filed under subsection (a) of section 9-333j.

(g) **Permissible expenditures.** (1) As used in this subsection, (a) "the lawful purposes of his committee" means: (i) For a candidate committee or exploratory committee, the promoting of the nomination or election of the candidate who established the committee, except that after a political party nominates candidates for election to the offices of Governor and Lieutenant Governor, whose names shall be so placed on the ballot in the election that an elector will cast a single vote for both candidates, as prescribed in section 9-181, a candidate committee established by either such candidate may also promote the election of the other such candidate; (ii) for a political committee, the promoting of the success or defeat of candidates for nomination and election to public office or position subject to

the requirements of this chapter, or the success or defeat of referendum questions, provided a political committee formed for a single referendum question shall not promote the success or defeat of any candidate, and provided further a political committee designated by the majority of the members of a political party who are also members of the state house of representatives or the state senate may expend funds to defray costs of its members for conducting legislative or constituency related business which are not reimbursed or paid by the state; and (iii) for a party committee, the promoting of the party, the candidates of the party and continuing operating costs of the party, and (b) "immediate family" means a spouse or dependent child of a candidate who resides in the candidate's household.

(2) Unless otherwise provided by this chapter, any campaign treasurer, in accomplishing the lawful purposes of his committee, may pay the expenses of: (A) Advertising in electronic and print media; (B) any other form of printed advertising or communications including "thank you" advertising after the election; (C) campaign items, including, but not limited to, brochures, leaflets, flyers, invitations, stationery, envelopes, reply cards, return envelopes, campaign business cards, direct mailings, postcards, palm cards, "thank you" notes, sample ballots and other similar items; (D) political banners and billboards; (E) political paraphernalia, which is customarily given or sold to supporters including, but not limited to, campaign buttons, stickers, pins, pencils, pens, matchbooks, balloons, pads, calendars, magnets, key chains, hats, tee shirts, sweat-shirts, frisbees, pot holders, jar openers and other similar items; (F) purchasing office supplies for campaign or political purposes, campaign photographs, raffle or other fund-raising permits required by law, fund-raiser prizes, postage, express mail delivery services, bulk mail permits, and computer supplies and services; (G) banking service charges to maintain campaign and political accounts; (H) subscriptions to newspapers and periodicals which enhance the candidacy of the candidate or party; (I) lease or rental of office space for campaign or political purposes and expenses in connection therewith including, but not limited to, furniture, parking, storage space, utilities and maintenance, provided a party committee or political committee organized for ongoing political activities may purchase such office space; (J) lease or rental of vehicles for campaign use only; (K) lease, rental or use charges of any ordinary and necessary campaign office equipment including, but not limited to, copy machines, telephones, postage meters, facsimile machines, computer hardware, software and printers, provided a party committee or political committee organized for ongoing political activities may purchase office equipment, and provided further that a candidate committee or a political committee, other than a political committee formed for ongoing political activities or an exploratory committee, may purchase computer equipment; (L) compensation for campaign or committee staff, fringe benefits and payroll taxes, provided the candidate and any member of his immediate family shall not receive compensation; (M) travel, meals and lodging expenses of speakers, campaign or committee workers, the candidate and the candidate's spouse for political and campaign purposes; (N) fund-raising; (O) reimbursements to candidates and campaign or committee workers made in accordance with the provisions of section 9-333i for campaign-related expenses for which a receipt is received by the campaign treasurer; (P) campaign or committee services of attorneys, accountants, consultants or

other professional persons for campaign activities, obtaining or contesting ballot status, nomination, or election, and compliance with this chapter; (Q) purchasing campaign finance reports; (R) repaying permissible campaign loans made to the committee that are properly reported and refunding contributions received from an impermissible source or in excess of the limitations set forth in this chapter; (S) conducting polls concerning any political party, issue, candidate or individual; (T) gifts to campaign or committee workers or purchasing flowers or other commemorative items for political purposes not to exceed fifty dollars to any one recipient in a calendar year or for the campaign, as the case may be; (U) purchasing tickets or advertising from charities, inaugural committees, or other civic organizations if for a political purpose, for any candidate, a candidate's spouse, a member of a candidate's campaign staff, or members of committees; (V) the inauguration of an elected candidate by that candidate's candidate committee; (W) hiring of halls, rooms, music and other entertainment for political meetings and events; (X) reasonable compensation for public speakers hired by the committee; (Y) transporting electors to the polls and other get-out-the-vote activities on election day, and (Z) any other necessary campaign or political expense.

(3) Nothing in this section shall prohibit a candidate from purchasing equipment from his personal funds and leasing or renting such equipment to his candidate committee or his exploratory committee, provided the candidate and his campaign treasurer sign a written lease or rental agreement. Such agreement shall include the lease or rental price, which shall not exceed the fair lease or rental value of the equipment. The candidate shall not receive lease or rental payments which in the aggregate exceed his cost of purchasing the equipment.

(4) As used in this subdivision, expenditures for "personal use" include expenditures to defray normal living expenses for the candidate, the immediate family of the candidate or any other individual and expenditures for the personal benefit of the candidate or any other individual having no direct connection with, or effect upon, the campaign of the candidate or the lawful purposes of the committee, as defined in subdivision (2) of this section. No goods, services, funds and contributions received by any committee under this chapter shall be used or be made available for the personal use of any candidate. No candidate, committee, or any other individual shall use such goods, services, funds or contributions for any purpose other than campaign purposes permitted by this chapter.

**(h) Honoraria, gifts or compensation for elected public officials.** No campaign treasurer of a political committee may provide an honorarium to, compensate or make a gift to, any elected public official who is subject to the provisions of this chapter, for any speaking engagement or other services rendered on behalf of such committee, except that the provisions of this subsection shall not apply to: (1) Reimbursement for actual travel expenses or food and beverage for the personal consumption of such public official or members of his immediate family, in connection with the rendering of any such services by the public official; or (2) any contribution made to such public official in connection with his campaign for nomination or election to an office or position included in this chapter, which is reported in accordance with the provisions of this chapter. Except as provided in this subsection, no such elected public official may receive any gift, honorarium or compensation from a political committee.



(i) **Expenses for election contest.** The right of any person to expend money for proper legal expenses in maintaining or contesting the results of any election shall not be affected or limited by the provisions of this chapter.

(j) **Reimbursements to candidates and committee workers.** A candidate or his committee worker shall be reimbursed by the campaign treasurer for any permissible expenditure which the candidate or committee worker has paid from his own personal funds if (1) the campaign treasurer authorized the expenditure, (2) the candidate or worker provides the campaign treasurer with a written receipt or other documentary evidence from the vendor proving his payment of the expenditure, and (3) in the case of a reimbursement to the candidate, a detailed accounting of the expenditure is included in the report of the campaign treasurer. Internal records required to be maintained in order for any candidate or committee worker to be reimbursed from committee funds include, but are not limited to, contemporaneous invoices, receipts, bills, statements, itineraries, or other written or documentary evidence showing the campaign or lawful purpose of the expenditure. The campaign treasurer shall preserve all such internal records for the same period of time as required in the case of cancelled checks, except that the campaign treasurer of a candidate committee may, upon request of the candidate, give such internal records to the candidate to keep for such period.

(k) **Campaign expenses paid by candidate.** A candidate shall report to his campaign treasurer each campaign expenditure of more than fifty dollars which he has made directly from his own personal funds, except those expenditures for his own telephone calls, travel and meals for which the candidate does not seek reimbursement from his committee, by the close of the reporting period in which the expenditures were made. The candidate shall indicate whether or not he expects reimbursement by the committee. The campaign treasurer shall report all such reimbursed and nonreimbursed expenditures as "campaign expenses paid by the candidate" on the sworn financial statements he is required to file in accordance with section 9-333j and in the same manner as committee expenditures.

(l) **Political committee checks to committees.** Each check issued by the campaign treasurer of a political committee to a candidate committee, party committee or another political committee (1) shall have typed, stamped, or printed other than by hand, on its face, the name and address of the political committee making the contribution and (2) shall legibly indicate the name of the campaign treasurer of the political committee.

(m) **Obligations and restrictions imposed on certifying candidates.** Any obligation or restriction imposed by this section and sections 9-333j, 9-333l, 9-333m, 9-333o, 9-333q, 9-333r, 9-333t, 9-333v, 9-333w, 9-333x and 9-333y on a campaign treasurer or a candidate committee shall be deemed to be imposed on any candidate who is exempt from forming a candidate committee and has filed a certification pursuant to subsection (b) of section 9-333f with the proper authority.

#### **§ 9-333j. Statements to be filed by campaign treasurers. Treatment of surplus or deficit.**

(a) **Filing Dates** (1) Each campaign treasurer of a committee, other than a state central committee, shall file a statement, sworn under penalty of false statement with the proper authority in accordance with the provisions of section 9-333e, (A) on

the tenth calendar day in the months of January, April, July and October, provided, if such tenth calendar day is a Saturday, Sunday or legal holiday, the statement shall be filed on the next business day, (B) on the seventh day preceding each regular state election, except that (i) in the case of a candidate or exploratory committee established for an office to be elected at a municipal election, the statement shall be filed on the seventh day preceding a regular municipal election in lieu of such date, and (ii) in the case of a town committee, the statement shall be filed on the seventh day preceding each municipal election in addition to such date, and (C) if the committee has made or received a contribution or expenditure in connection with any other election, a primary or a referendum, on the seventh day preceding the election, primary or referendum. The statement shall be complete as of the last day of the month preceding the month in which the statement is required to be filed, except that for the statement required to be filed on the seventh day preceding the election, primary or referendum, the statement shall be complete as of seven days immediately preceding the required filing day. The statement shall cover a period to begin with the first day not included in the last filed statement. In the case of a candidate committee, the statement required to be filed in January shall be in lieu of the statement formerly required to be filed within forty-five days following an election.

(2) Each campaign treasurer of a candidate committee, within thirty days following any primary, and each campaign treasurer of a political committee formed for a single primary, election or referendum, within forty-five days after any election or referendum not held in November, shall file statements in the same manner as is required of them under subdivision (1) of this subsection. If the campaign treasurer of a candidate committee established by a candidate, who is unsuccessful in the primary or has terminated his candidacy prior to the primary, distributes all surplus funds within thirty days following the scheduled primary and discloses the distribution on the postprimary statement, such campaign treasurer shall not be required to file any subsequent statement unless the committee has a deficit, in which case he shall file any required statements in accordance with the provisions of subdivision (3) of subsection (e) of this section.

(3) In the case of state central committees, (A) on the tenth calendar day in the months of January, April and July, provided, if such tenth calendar day is a Saturday, Sunday or legal holiday, on the next business day, and (B) on the twelfth day preceding any election, the campaign treasurer of each such committee shall file with the proper authority, a statement, sworn under penalty of false statement, complete as of the last day of the month immediately preceding the month in which such statement is to be filed in the case of statements required to be filed in January, April and July, and complete as of the nineteenth day preceding an election, in the case of the statement required to be filed on the twelfth day preceding an election, and in each case covering a period to begin with the first day not included in the last filed statement.

(b) **Exemption from filing requirements.** The statements required to be filed under subsection (a) of this section and subdivisions (2) and (3) of subsection (e) of this section, shall not be required to be filed by: (1) A candidate committee or political committee formed for a single primary or election until such committee receives or expends an amount in excess of one thousand dollars for purposes of the primary or election for

which such committee was formed; (2) a political committee formed solely to aid or promote the success or defeat of any referendum question until such committee receives or expends an amount in excess of one thousand dollars; or (3) a party or political committee organized for ongoing political activities until such committee receives or expends an amount in excess of one thousand dollars for the calendar year except the statements required to be filed on the second Thursday in the month of January and on the seventh day preceding any election shall be so filed. The provisions of this subsection shall not apply to state central committees or to the statement required to be filed by an exploratory committee upon its termination. A committee which is exempted from filing statements under the provisions of this subsection shall file in lieu thereof a statement sworn under penalty of false statement, indicating that the committee has not received or expended an amount in excess of one thousand dollars.

(c) **Contents of statements.** (1) Each statement filed under subsection (a), (e) or (f) of this section shall include, but not be limited to: (A) An itemized accounting of each contribution, if any, including the full name and complete address of each contributor and the amount of the contribution; (B) in the case of anonymous contributions, the total amount received and the denomination of the bills; (C) an itemized accounting of each expenditure, if any, including the full name and complete address of each payee, including secondary payees whenever the primary or principal payee is known to include charges which the primary payee has already paid or will pay directly to another person, vendor or entity, the amount and the purpose of the expenditure, the candidate supported or opposed by the expenditure, whether the expenditure is made independently of the candidate supported or is an in-kind contribution to the candidate, and a statement of the balance on hand or deficit, as the case may be; (D) an itemized accounting of each expense incurred but not paid, provided if the expense is incurred by use of a credit card, the accounting shall include secondary payees, and the amount owed to each such payee; (E) the name and address of any person who is the guarantor of a loan to, or the cosigner of a note with, the candidate on whose behalf the committee was formed, or the campaign treasurer in the case of a party committee or a political committee or who has advanced a security deposit to a telephone company, as defined in section 16-1, for telecommunications service for a committee; (F) for each business entity or person purchasing advertising space in a program for a fund-raising affair, the name and address of the business entity or the name and address of the person, and the amount and aggregate amounts of such purchases; (G) for each individual who contributes in excess of one hundred dollars but not more than one thousand dollars, in the aggregate, to the extent known, the principal occupation of such individual and the name of the individual's employer, if any; (H) for each individual who contributes in excess of one thousand dollars in the aggregate, the principal occupation of such individual, the name of the individual's employer, if any, and a statement indicating whether the individual or a business with which he is associated has a contract with the state which is valued at more than five thousand dollars; (I) for each itemized contribution made by a lobbyist, the spouse of a lobbyist or any dependent child of a lobbyist who resides in the lobbyist's household, a statement to that effect; and (J) for each individual who contributes in excess of four hundred dollars in the aggregate to or for

the benefit of any candidate's campaign for nomination at a primary or election to the office of chief executive officer of a town, city or borough, a statement indicating whether the individual or a business with which he is associated has a contract with said municipality that is valued at more than five thousand dollars. Each campaign treasurer shall include in such statement (i) an itemized accounting of the receipts and expenditures relative to any testimonial affair held under the provisions of section 9-333k or any other fund-raising affair, which is referred to in subsection (b) of section 9-333b, and (ii) the date, location and a description of the affair.

(2) Each contributor described in subparagraph (G), (H), (I) or (J) of subdivision (1) of this subsection shall, at the time the contributor makes such a contribution, provide the information which the campaign treasurer is required to include under said subparagraph in the statement filed under subsection (a), (e) or (f) of this section. Notwithstanding any provision of subdivision (2) of section 9-7b, any contributor described in subparagraph (G) of subdivision (1) of this subsection who does not provide such information at the time the contributor makes such a contribution and any treasurer shall not be subject to the provisions of subdivision (2) of section 9-7b. If a campaign treasurer receives a contribution from an individual which separately, or in the aggregate, is in excess of one thousand dollars and the contributor has not provided the information required by said subparagraph (H) or if a campaign treasurer receives a contribution from an individual to or for the benefit of any candidate's campaign for nomination at a primary or election to the office of chief executive officer of a town, city or borough, which separately, or in the aggregate, is in excess of four hundred dollars and the contributor has not provided the information required by said subparagraph (J), the campaign treasurer: (i) within three business days after receiving the contribution, shall send a request for such information to the contributor by certified mail, return receipt requested; (ii) shall not deposit the contribution until the campaign treasurer obtains such information from the contributor, notwithstanding the provisions of section 9-333h, and (iii) shall return the contribution to the contributor if the contributor does not provide the required information within fourteen days after the treasurer's written request or the end of the reporting period in which the contribution was received, whichever is later. Any failure of a contributor to provide the information which the campaign treasurer is required to include under said subparagraph (G) or (I), which results in noncompliance by the campaign treasurer with the provisions of said subparagraph (G) or (I), shall be a complete defense to any action against the campaign treasurer for failure to disclose such information.

(3) Contributions from a single individual to a campaign treasurer in the aggregate totaling thirty dollars or less need not be individually identified in the statement, but a sum representing the total amount of all such contributions made by all such individuals during the period to be covered by such statement shall be a separate entry, identified only by the words "total contributions from small contributors".

(4) Statements filed in accordance with this section shall remain public records of the state for five years from the date such statements are filed.

(d) **Duplicate statement for candidate or chairman.**  
**Timely filing.** At the time of filing statements required under this section, the campaign treasurer of each candidate commit-

tee shall send to the candidate a duplicate statement and the campaign treasurer of each party committee and each political committee other than an exploratory committee shall send to the chairman of the committee a duplicate statement. Each statement required to be filed under this section and subsection (g) of section 9-333l, shall be deemed to be filed in a timely manner if it is delivered by hand to the office of the proper authority before four-thirty o'clock p.m. or postmarked by the United States Postal Service before midnight on the required filing day. If the day for any such filing falls on a Saturday, Sunday or legal holiday, the statement shall be filed on the next business day thereafter.

**(e) Distribution or expenditure from surplus funds. Reporting re deficits.** (1) Notwithstanding any provisions of this chapter to the contrary, in the event of a surplus the campaign treasurer of a candidate committee or of a political committee, other than a political committee formed for ongoing political activities or an exploratory committee shall distribute or expend such surplus within ninety days after a primary which results in the defeat of the candidate, an election or referendum not held in November or by January thirty-first following an election or referendum held in November, in the following manner:

(A) Such committees may distribute their surplus to a party committee, or a political committee organized for ongoing political activities, return such surplus to all contributors to the committee on a prorated basis of contribution, or distribute such surplus to any charitable organization which is a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code of 1986, or any subsequent corresponding internal revenue code of the United States, as from time to time amended, provided no candidate committee may distribute such surplus to a committee which has been established to finance future political campaigns of the candidate;

(B) Each such political committee established by an organization which received its funds from the organization's treasury shall return its surplus to its sponsoring organization;

(C) (i) Each political committee formed solely to aid or promote the success or defeat of any referendum question, which does not receive contributions from a business entity or an organization, shall distribute its surplus to a party committee, to a political committee organized for ongoing political activities, to a national committee of a political party, to all contributors to the committee on a prorated basis of contribution, to state or municipal governments or agencies or to any organization which is a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code of 1986, or any subsequent corresponding internal revenue code of the United States, as from time to time amended, (ii) each political committee formed solely to aid or promote the success or defeat of any referendum question, which receives contributions from a business entity or an organization, shall distribute its surplus to all contributors to the committee on a prorated basis of contribution, to state or municipal governments or agencies, or to any organization which is tax-exempt under said provisions of the Internal Revenue Code. Notwithstanding the provisions of this subsection, a committee formed for a single referendum shall not be required to expend its surplus within ninety days after the referendum and may continue in existence if a substantially similar referendum question on the same issue will be submitted to the electorate within six months after the first referendum. If two or more substantially similar referenda on the same

issue are submitted to the electorate, each no more than six months apart, the committee shall expend such surplus within ninety days following the date of the last such referendum;

(D) The campaign treasurer of the candidate committee of a candidate who is elected to office may, upon the authorization of such candidate, expend surplus campaign funds to pay for the cost of clerical, secretarial or other office expenses necessarily incurred by such candidate in preparation for taking office; except such surplus shall not be distributed for the personal benefit of any individual or to any organization; and

(E) The campaign treasurer of a candidate committee, or of a political committee, other than a political committee formed for ongoing political activities or an exploratory committee, shall, prior to the dissolution of such committee, either (i) distribute any equipment purchased, including but not limited to computer equipment, to any recipient as set forth in subparagraph (A) of this subdivision or (ii) sell any equipment purchased, including but not limited to computer equipment, to any person for fair market value and then distribute the proceeds of such sale to any recipient as set forth in said subparagraph (A).

(2) Notwithstanding any provisions of this chapter to the contrary, the campaign treasurer of the candidate committee of a candidate who has withdrawn from a primary or election may, prior to the primary or election, distribute its surplus to any organization which is tax-exempt under Section 501(c)(3) of the Internal Revenue Code of 1986, or any subsequent corresponding internal revenue code of the United States, as from time to time amended, or return such surplus to all contributors to the committee on a prorated basis of contribution.

(3) Within seven days after such distribution or within seven days after all funds have been expended in accordance with subparagraph (D) of subdivision (1) of this subsection, the campaign treasurer shall file a supplemental statement, sworn under penalty of false statement, with the proper authority, identifying all further contributions received since the previous statement and explaining how any surplus has been distributed or expended in accordance with this section. No surplus may be distributed or expended until after the election, primary or referendum.

(4) In the event of a deficit the campaign treasurer shall file a supplemental statement ninety days after an election, primary or referendum not held in November or on the seventh calendar day in February, or the next business day if such day is a Saturday, Sunday or legal holiday, after an election or referendum held in November, with the proper authority and, thereafter, on the seventh day of each month following if on the last day of the previous month there was an increase or decrease in the deficit in excess of five hundred dollars from that reported on the last statement filed. The campaign treasurer shall file such supplemental statements as required until the deficit is eliminated. If any such committee does not have a surplus or a deficit, the statement required to be filed within forty-five days following any election or referendum not held in November or on the seventh calendar day in January, or the next business day if such day is a Saturday, Sunday or legal holiday, following an election or referendum held in November, or within thirty days following any primary shall be the last required statement.

**(f) Dissolution of exploratory committee.** If an exploratory committee has been established by a candidate pursuant to

subsection (c) of section 9-333f, the campaign treasurer of the committee shall file a notice of intent to dissolve it with the appropriate authority not later than fifteen days after the candidate's declaration of intent to seek nomination or election to a particular public office. The campaign treasurer shall also file a statement identifying all contributions received or expenditures made by the exploratory committee since the previous statement and the balance on hand or deficit, as the case may be. In the event of a surplus, the campaign treasurer shall, not later than the filing of the statement, distribute the surplus to the candidate committee established pursuant to said section, except that in the case of a surplus of an exploratory committee established for nomination or election to an office other than the General Assembly or a state office, as defined in subsection (e) of section 9-333l, (1) the campaign treasurer may only distribute to the candidate committee for nomination or election to the General Assembly or state office, as so defined, of such candidate that portion of such surplus which is in excess of the total contributions which the exploratory committee received from lobbyists or political committees established by lobbyists, during any period in which the prohibitions in said subsection (e) of section 9-333l apply and (2) any remaining amount shall be returned to all such lobbyists and political committees established by or on behalf of lobbyists, on a prorated basis of contribution, or distributed to any charitable organization which is a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code of 1986, or any subsequent corresponding internal revenue code of the United States, as from time to time amended. If the candidate decides not to seek nomination or election to any office, the campaign treasurer shall, within fifteen days after such decision, comply with the provisions of this subsection and distribute any surplus in the manner provided by this section for political committees other than those formed for ongoing political activities, except that if the surplus is from an exploratory committee established by the State Treasurer, any portion of the surplus that is received from a principal of an investment services firm or a political committee established by such firm shall be returned to such principal or committee on a prorated basis of contribution. In the event of a deficit, the campaign treasurer shall file a statement thirty days after the decision or declaration with the proper authority and, thereafter, on the seventh day of each month following if on the last day of the previous month there was an increase or decrease in such deficit in excess of five hundred dollars from that reported on the last statement filed. The campaign treasurer shall file supplemental statements until the deficit is eliminated. If the exploratory committee does not have a surplus or deficit, the statement filed after the candidate's declaration or decision shall be the last required statement. As used in this subsection, "principal of an investment services firm" has the meaning set forth in subsection (f) of section 9-333n.

**§ 9-333k. Party committees; designation as campaign treasurer. Limitation on multiple committees. Fund-raising events and testimonial affairs.**

(a) The chairman of each party committee shall designate a campaign treasurer and may designate a deputy campaign treasurer, or in the case of a state central committee, not more than two deputy campaign treasurers. The campaign treasurer and any deputy campaign treasurers so designated shall sign a statement accepting the designation, which shall be filed with

the proper authority with the statement of designation required under subdivision (1) of subsection (a) of section 9-333d. No state central committee or town committee shall establish a committee other than a single party committee for purposes of this chapter. A party committee or a political committee organized for ongoing political activities shall form no other political committees, except that two or more such committees may join to form a political committee for the purpose of a single fund-raising event.

(b) As used in this subsection, "testimonial affair" means an affair held in honor of an individual who holds, or who is or was a candidate for nomination or election to, an office subject to this chapter. No testimonial affair shall be held without the consent of such person. No testimonial affair shall be held for a candidate, or for an individual who holds any such office during the term of such office, except to raise funds on his behalf for purposes authorized in this chapter. A testimonial affair which is held by an organization duly organized for charitable purposes shall be exempt from the provisions of this chapter. A testimonial affair which is held for an individual upon his retirement from public office shall also be exempt from the provisions of this chapter unless a deficit exists from any such individual's campaigns for election or nomination to an office subject to this chapter. Any fund-raising affair for any candidate or individual who holds any such office for any purposes other than those authorized in this chapter shall be prohibited. Any person who organizes such a fund-raising affair shall be in violation of this section.

**§ 9-333l Expense sharing by committees. Candidate's expenditures. Use of public funds by incumbent or for promotional campaign or advertisement. Prohibitions on certain lobbyist contributions. Statements to be filed by lobbyists.**

(a) Any provision of this chapter to the contrary notwithstanding, a candidate committee may join with one or more candidate committees to establish a political committee for the purpose of sponsoring one or more fund-raising events for those candidates. Any individual, other than a candidate benefited, who is eligible and qualifies to serve in accordance with the provisions of subsection (d) of section 9-333h may serve as the campaign treasurer or deputy campaign treasurer of such a political committee. The statements required to be filed by a political committee under this chapter shall apply to any political committee established pursuant to this subsection. After all expenses of the political committee have been paid by its campaign treasurer for each event, he shall distribute all remaining funds from such event to the campaign treasurers of each of the candidate committees which established the political committee. The distribution to each candidate committee shall be made not later than fourteen days after the event, either in accordance with a prior agreement of the candidates or, if no prior agreement was made, in equal proportions to each candidate committee. Any contribution which is made to such political committee shall, for purposes of determining compliance with the limitations imposed by this chapter, be deemed to have been made in equal proportions to each candidate's campaign unless (1) a prior agreement was made by the candidates as to the disposition of remaining funds and (2) those who contributed to the political committee were notified of such disposition, in

which case the contribution shall be deemed to have been made to each candidate's campaign in accordance with the agreement.

(b) A candidate committee may pay its pro rata share of the expenses of operating a campaign headquarters and of preparing, printing and disseminating any political communication on behalf of that candidate and any other candidate or candidates. Notwithstanding the provisions of subdivision (1) of subsection (a) of section 9-333r, a candidate committee may reimburse a party committee for any expenditure such party committee has incurred for the benefit of such candidate committee.

(c) A candidate may make any expenditure permitted by section 9-333i to aid or promote the success of his campaign for nomination or election from his personal funds, or the funds of his immediate family, which for the purposes of this chapter shall consist of the candidate's spouse and issue. Any such expenditure shall not be deemed a contribution to any committee.

(d) (1) No incumbent holding office shall, during the three months preceding an election in which he is a candidate for reelection or election to another office, use public funds to mail or print flyers or other promotional materials intended to bring about his election or reelection.

(2) No official or employee of the state or a political subdivision of the state shall authorize the use of public funds for a television, radio, movie theater, billboard, bus poster, newspaper or magazine promotional campaign or advertisement, which (A) features the name, face or voice of a candidate for public office, or (B) promotes the nomination or election of a candidate for public office, during the five-month period preceding the election being held for the office which the candidate described in this subdivision is seeking.

(e) For purposes of this subsection and subsection (f) of this section, the exclusions to the term "contribution" in subsection (b) of section 9-333b, shall not apply; the term "state office" means the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, State Treasurer or Secretary of the State; and the term "state officer" means the Governor, Lieutenant Governor, Attorney General, State Comptroller, State Treasurer or Secretary of the State. Notwithstanding any provision of this chapter to the contrary, during any regular session of the General Assembly, during any special session of the General Assembly held between the adjournment of the regular session in an odd-numbered year and the convening of the regular session in the following even-numbered year or during any reconvened session of the General Assembly held in an odd-numbered year to reconsider vetoed bills, (1) no lobbyist or political committee established by or on behalf of a lobbyist shall make or offer to make a contribution to or on behalf of, and no lobbyist shall solicit a contribution on behalf of, (A) a candidate or exploratory committee established by a candidate for nomination or election to the General Assembly or a state office or (B) a political committee (i) established for an assembly or senatorial district, (ii) established by a member of the General Assembly or a state officer or such member or officer's agent, or in consultation with, or at the request or suggestion of, any such member, officer or agent, or (iii) controlled by such member, officer or agent, to aid or promote the nomination or election of any candidate or candidates to the General Assembly or a state office, and (2) no such candidate or political committee shall accept such a contribution. The provisions of this subsection

shall not apply to a candidate committee established by a member of the General Assembly or a candidate for nomination or election to the General Assembly, at a special election for the General Assembly, from the date on which the candidate or the chairman of the committee files the designation of a campaign treasurer and a depository institution under section 9-333d with the Secretary of the State, to the date on which the special election is held, inclusive, or to an exploratory committee established by a member of the General Assembly to promote his candidacy for an office other than the General Assembly.

(f) A political committee established by two or more individuals under subparagraph (B) of subsection (3) of section 9-333a, other than a committee established solely for the purpose of aiding or promoting any candidate or candidates for municipal office or the success or defeat of a referendum question, shall be subject to the prohibition on acceptance of lobbyist contributions under subsection (e) of this section unless the campaign treasurer of the committee has filed a certification that the committee is not established for an assembly or senatorial district, or by a member of the General Assembly or a state officer, or such member or officer's agent, or in consultation with, or at the request or suggestion of, any such member, officer or agent, or controlled by such member, officer or agent. The campaign treasurer of any political committee established by or on behalf of a lobbyist shall file a certification to that effect. Such certifications shall be filed with the office of the Secretary of the State, on forms prescribed by the secretary, on or before November 15, 1994, for all such political committees in existence on such date, or upon the registration of the committee, and on or before November fifteenth biennially thereafter. The secretary shall provide to the State Elections Enforcement Commission on or before December 1, 1994, and biennially thereafter, a political committee registration report. The report shall include a certified copy of each certification filed pursuant to this subsection prior to December first of the reporting year and a certified copy of a list stating the name of each political committee registered pursuant to section 9-333g prior to December first of the reporting year and the name and address of the campaign treasurer of each such committee. In the case of any political committee which registers or files a certification on or after December first of any even-numbered year but prior to November first of the following even-numbered year, the secretary shall provide the commission with a copy of each such registration or certification by the close of the next business day following receipt. Such registration information or certification shall also be included in the biennial political committee registration report of the secretary to the commission. The commission shall prepare a list of all such committees subject to the prohibitions under subsection (e) of this section, according to the certifications filed, which shall be available prior to the opening of each regular session of the General Assembly, and shall provide a copy of the list to the president pro tempore of the Senate, the speaker of the House of Representatives, the minority leader of the Senate, the minority leader of the House of Representatives and each state officer. During each such regular session, the commission shall prepare a supplemental list of committees which register after November fifteenth and are subject to such prohibitions, and the commission shall provide the supplemental list to such legislative leaders and state officers. The filing of the certification by the campaign treasurer of the committee shall not impair the authority of the commis-

sion to act under section 9-7b. Any lobbyist or campaign treasurer who acts in reliance on such lists in good faith shall have an absolute defense in any action brought under subsection (e) and this subsection, subsection (c) of section 9-333f, and subsection (f) of section 9-333j.

(g) As used in this subsection, "immediate family" means any spouse or dependent child who resides in a lobbyist's household. Each lobbyist who is an individual and, in conjunction with members of his immediate family, makes contributions to or purchases from committees exceeding one thousand dollars in the aggregate during the twelve-month period beginning July 1, 1993, or July first in any year thereafter, shall file a statement, sworn under penalty of false statement, with the Secretary of the State in accordance with the provisions of section 9-333e, on the second Thursday in July following the end of such twelve-month period. The statement shall include: (1) The name of each committee to which the lobbyist or a member of his immediate family has made a contribution and the amount and date of each such contribution; and (2) the name of each committee from which the lobbyist or member of his immediate family has purchased any item of property or advertising space in a program in connection with a fund-raising event which is not considered a contribution under subsection (b) of section 9-333b, and the amount, date and description of each such purchase. Each lobbyist who is an individual and who, in conjunction with members of his immediate family, does not make contributions to or purchases from committees exceeding one thousand dollars in the aggregate during any such twelve-month period shall file a statement, sworn under penalty of false statement, with the Secretary of the State in accordance with the provisions of section 9-333e, on the second Thursday in July, so indicating.

**§ 9-333m. Limits on contributions made by individuals to candidate committees, exploratory committees. When contributions by personal check or credit card required. Contributions by individuals less than sixteen years of age.**

(a) No individual shall make a contribution or contributions to, for the benefit of, or pursuant to the authorization or request of, a candidate or a committee supporting or opposing any candidate's campaign for nomination at a primary, or any candidate's campaign for election, to the office of (1) Governor, in excess of two thousand five hundred dollars; (2) Lieutenant Governor, Secretary of the State, Treasurer, Comptroller or Attorney General, in excess of one thousand five hundred dollars; (3) chief executive officer of a town, city or borough, in excess of one thousand dollars; (4) state senator or probate judge, in excess of five hundred dollars; or (5) state representative or any other office of a municipality not previously included in this subsection, in excess of two hundred fifty dollars. The limits imposed by this subsection shall be applied separately to primaries and elections.

(b) No individual shall make a contribution or contributions to, or for the benefit of, an exploratory committee or a political committee formed by a slate of candidates in a primary for the office of justice of the peace, in excess of two hundred fifty dollars.

(c) No individual shall make contributions to such candidates or committees which in the aggregate exceed fifteen thousand dollars for any single election and primary preliminary thereto.

(d) No individual shall make a contribution to any candidate or committee, other than a contribution in kind, in excess of one hundred dollars except by personal check or credit card of that individual.

(e) No individual who is less than sixteen years of age shall make a contribution or contributions, in excess of thirty dollars to, for the benefit of, or pursuant to the authorization or request of: (1) A candidate or a committee supporting or opposing any candidate's campaign for nomination at a primary to any office; (2) a candidate or a committee supporting or opposing any candidate's campaign for election to any office; (3) an exploratory committee; (4) any other political committee in any calendar year; or (5) a party committee in any calendar year. Notwithstanding any provision of subdivision (2) of section 9-7b, any individual who is less than sixteen years of age who violates any provision of this subsection shall not be subject to the provisions of subdivision (2) of section 9-7b.

**§ 9-333n. Other contributions by individuals.**

(a) No individual shall make a contribution or contributions in any one calendar year in excess of five thousand dollars to the state central committee of any party, or for the benefit of such committee pursuant to its authorization or request; or one thousand dollars to a town committee of any political party, or for the benefit of such committee pursuant to its authorization or request; or one thousand dollars to a political committee other than (1) a political committee formed solely to aid or promote the success or defeat of a referendum question, (2) an exploratory committee, (3) a political committee established by an organization, or for the benefit of such committee pursuant to its authorization or request or (4) a political committee formed by a slate of candidates in a primary for the office of justice.

(b) No individual shall make a contribution to a political committee established by an organization which receives its funds from the organization's treasury. With respect to a political committee established by an organization which has complied with the provisions of subsection (b) or (c) of section 9-333p, and has elected to receive contributions, no individual other than a member of the organization may make contributions to the committee, in which case the individual may contribute not more than five hundred dollars in any one calendar year to such committee or for the benefit of such committee pursuant to its authorization or request.

(c) In no event may any individual make contributions to a candidate committee and a political committee formed solely to support one candidate other than an exploratory committee or for the benefit of a candidate committee and a political committee formed solely to support one candidate pursuant to the authorization or request of any such committee, in an amount which in the aggregate is in excess of the maximum amount which may be contributed to the candidate.

(d) Any individual may make unlimited contributions or expenditures to aid or promote the success or defeat of any referendum question, provided any individual who makes an expenditure or expenditures in excess of one thousand dollars to promote the success or defeat of any referendum question shall file statements according to the same schedule and in the same manner as is required of a campaign treasurer of a political committee under section 9-333j.

(e) Any individual acting alone may, independent of any candidate, agent of the candidate, or committee, make unlimited expenditures to promote the success or defeat of any candidate's campaign for election, or nomination at a primary, to any office or position, provided any individual who makes an independent expenditure or expenditures in excess of one thousand dollars to promote the success or defeat of any candidate's campaign for election, or nomination at a primary, to any such office or position shall file statements according to the same schedule and in the same manner as is required of a campaign treasurer of a candidate committee under section 9-333j.

(f) (1) As used in this subsection and subsection (f) of section 9-333j, (A) "investment services" means investment legal services, investment banking services, investment advisory services, underwriting services, financial advisory services or brokerage firm services, and (B) "principal of an investment services firm" means (i) an individual who is a director of or has an ownership interest in an investment services firm to which the State Treasurer pays compensation, expenses or fees or issues a contract, except for an individual who owns less than five per cent of the shares of an investment services firm which is a publicly traded corporation, (ii) an individual who is employed by such an investment services firm as president, treasurer, or executive or senior vice president, (iii) an employee of such an investment services firm who has managerial or discretionary responsibilities with respect to any investment services provided to the State Treasurer, (iv) the spouse or a dependent child of an individual described in this subparagraph, or (v) a political committee established by or on behalf of an individual described in this subparagraph.

(2) No principal of an investment services firm shall make a contribution to, or solicit contributions on behalf of, an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State Treasurer during the term of office of the State Treasurer who pays compensation, expenses or fees or issues a contract to such firm.

(3) Neither the State Treasurer, the Deputy State Treasurer, any unclassified employee of the office of the State Treasurer acting on behalf of the State Treasurer or Deputy State Treasurer, any candidate for the office of State Treasurer, any member of the Investment Advisory Council established under section 3-13b nor any agent of any such candidate may solicit contributions on behalf of an exploratory committee or candidate committee established by a candidate for nomination or election to any public office, a political committee or a party committee, from a principal of an investment services firm, except that the prohibition in this subsection shall not apply to an incumbent State Treasurer who establishes an exploratory committee or candidate committee for any public office other than State Treasurer.

(4) No member of the Investment Advisory Council appointed under section 3-13b shall make a contribution to, or solicit contributions on behalf of, an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State Treasurer.

(5) The provisions of this subsection shall not restrict an individual from establishing an exploratory or candidate committee for the individual's own campaign or from soliciting contributions for such committees from persons not prohibited from making contributions under this subsection.

## **§ 9-333o. Business entities.**

(a) **Contributions or expenditures for candidate or party prohibited.** No business entity shall make any contributions or expenditures to, or for the benefit of, any candidate's campaign for election to any public office or position subject to this chapter or for nomination at a primary for any such office or position, or to promote the defeat of any candidate for any such office or position, or to promote the success or defeat of any political party, except as provided in subsection (b) of this section.

(b) **Transfers or disbursements to political committee.** A business entity may make reasonable and necessary transfers or disbursements to or for the benefit of a political committee established by such business entity, for the administration of, or solicitation of contributions to, such political committee. Non-monetary contributions by a business entity which are incidental in nature and are directly attributable to the administration of such political committee shall be exempt from the reporting requirements of this chapter.

(c) **Contributions or expenditures for referendum.** The provisions of this section shall not preclude a business entity from making contributions or expenditures to promote the success or defeat of a referendum question.

(d) **Contribution limits for particular offices.** A political committee organized by a business entity shall not make a contribution or contributions to or for the benefit of any candidate's campaign for nomination at a primary or any candidate's campaign for election to the office of: (1) Governor, in excess of five thousand dollars; (2) Lieutenant Governor, Secretary of the State, Treasurer, Comptroller or Attorney General, in excess of three thousand dollars; (3) state senator, probate judge or chief executive officer of a town, city or borough, in excess of one thousand dollars; (4) state representative, in excess of five hundred dollars; or (5) any other office of a municipality not included in subdivision (3) of this subsection, in excess of two hundred fifty dollars; or an exploratory committee, in excess of two hundred fifty dollars. The limits imposed by this subsection shall apply separately to primaries and elections and contributions by any such committee to candidates designated in this subsection shall not exceed one hundred thousand dollars in the aggregate for any single election and primary preliminary thereto. Contributions to such committees shall also be subject to the provisions of section 9-333t in the case of committees formed for ongoing political activity or section 9-333u in the case of committees formed for a single election or primary.

(e) **Contributions to political committees.** A political committee organized by a business entity may make unlimited contributions to, or for the benefit of, another political committee organized by a business entity or to a party committee. No political committee organized by a business entity shall make a contribution to an exploratory committee in excess of two hundred fifty dollars. No such political committee shall make a contribution or contributions in excess of two thousand dollars to any other kind of political committee, in any one calendar year if organized for ongoing political activities, or if formed for a single primary, election or referendum, with respect to such primary, election or referendum.

(f) As used in this subsection, "investment services" means investment legal services, investment banking services, investment advisory services, underwriting services, financial advisory

sory services or brokerage firm services. No political committee established by a firm which provides investment services and to which the State Treasurer pays compensation, expenses or fees or issues a contract shall make a contribution to, or solicit contributions on behalf of, an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State Treasurer during the term of office of the State Treasurer who does business with such firm.

#### **§ 9-333p. Organizations.**

(a) **Formation of political committee. Method of funding.** An organization may make contributions or expenditures, other than those made to promote the success or defeat of a referendum question, only by first forming its own political committee. The political committee shall then be authorized to receive funds exclusively from the organization's treasury or from voluntary contributions made by its members, but not both, from another political committee or, from a candidate committee distributing a surplus and (1) to make contributions or expenditures to, or for the benefit of, a candidate's campaign or a political party or (2) to make contributions to another political committee. No organization shall form more than one political committee.

(b) **Change in method of funding.** A political committee established by an organization may elect to alter the manner in which it is funded if it complies with the requirements of this subsection. The committee chairperson shall notify the repository with which the committee's most recent statement of organization is filed, in writing, of the committee's intent to alter its manner of funding. Within fifteen days after the date of receipt of such notification, the campaign treasurer of such political committee shall return any funds remaining in the account of the committee to the organization's treasury after payment of each outstanding liability. Within seven days after the distribution and payments have been made, the campaign treasurer shall file a statement with the same repository itemizing each such distribution and payment. Upon such filing, the campaign treasurer may receive voluntary contributions from any member of the organization which established such committee subject to the limitations imposed in subsection (b) of section 9-333n.

(c) **Designation of funding method.** The chairperson of each political committee established by an organization on or after July 1, 1985, shall designate the manner in which the committee shall be funded in the committee's statement of organization.

#### **§ 9-333q. Limits on contributions made by political committees established by organizations.**

(a) No political committee established by an organization shall make a contribution or contributions to, or for the benefit of, any candidate's campaign for nomination at a primary or for election to the office of: (1) Governor, in excess of two thousand five hundred dollars; (2) Lieutenant Governor, Secretary of the State, Treasurer, Comptroller or Attorney General, in excess of one thousand five hundred dollars; (3) chief executive officer of a town, city or borough, in excess of one thousand dollars; (4) state senator or probate judge, in excess of five hundred dollars; or (5) state representative or any other office of a municipality not previously included in this subsection, in excess of two hundred fifty dollars.

(b) No such committee shall make a contribution or contributions to, or for the benefit of, an exploratory committee, in excess of two hundred fifty dollars. Any such committee may make unlimited contributions to a political committee formed solely to aid or promote the success or defeat of a referendum question.

(c) The limits imposed by subsection (a) of this section shall apply separately to primaries and elections and no such committee shall make contributions to the candidates designated in this section which in the aggregate exceed fifty thousand dollars for any single election and primary preliminary thereto.

(d) No political committee established by an organization shall make contributions in any one calendar year to, or for the benefit of, (1) the state central committee of a political party, in excess of five thousand dollars; (2) a town committee, in excess of one thousand dollars; or (3) any political committee, other than an exploratory committee or a committee formed solely to aid or promote the success or defeat of a referendum question, in excess of two thousand dollars.

(e) No political committee established by an organization shall make contributions to the committees designated in subsection (d) of this section, which in the aggregate exceed fifteen thousand dollars in any one calendar year. Contributions to a political committee established by an organization shall also be subject to the provisions of section 9-333t in the case of a committee formed for ongoing political activity or section 9-333u in the case of a committee formed for a single election or primary.

#### **§ 9-333r. Contributions made or received by candidate committees.**

(a) A candidate committee shall not make contributions to, or for the benefit of, (1) a party committee, (2) a political committee, (3) a committee of a candidate for federal or out-of-state office, (4) a national committee, or (5) another candidate committee except that (A) a pro rata sharing of certain expenses in accordance with subsection (b) of section 9-333l shall be permitted, and (B) after a political party nominates candidates for election to the offices of Governor and Lieutenant Governor, whose names shall be so placed on the ballot in the election that an elector will cast a single vote for both candidates, as prescribed in section 9-181, an expenditure by a candidate committee established by either such candidate that benefits the candidate committee established by the other such candidate shall be permitted.

(b) A candidate committee shall not receive contributions from any national committee or from a committee of a candidate for federal or out-of-state office.

#### **§ 9-333s. Contributions made or received by party committees.**

(a) A party committee may make unlimited contributions to, or for the benefit of, any of the following: (1) Another party committee; (2) a candidate committee; (3) a national committee of a political party; (4) a committee of a candidate for federal or out-of-state office or (5) a political committee. A party committee may also make contributions to a charitable organization which is a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code, as from time to time amended, or make memorial contributions. A town committee may also



contribute to a scholarship awarded by a high school on the basis of objective criteria.

(b) A party committee may receive contributions from a federal account of a national committee of a political party, but may not receive contributions from any other account of a national committee of a political party or from a committee of a candidate for federal or out-of-state office, for use in the election of candidates subject to the provisions of this chapter.

**§ 9-333t. Contributions made or received by political committees organized for ongoing political activities.**

(a) A political committee organized for ongoing political activities may make unlimited contributions to, or for the benefit of, a party committee; any national committee of a political party; a candidate committee; or a committee of a candidate for federal or out-of-state office. No such political committee shall make a contribution or contributions in excess of two thousand dollars to another political committee in any calendar year except that a political committee organized by a business entity may make unlimited contributions to, or for the benefit of, another political committee organized by a business entity. No political committee organized for ongoing political activities shall make a contribution in excess of two hundred fifty dollars to an exploratory committee. If such an ongoing committee is established by an organization or a business entity, its contributions shall be subject to the limits imposed by sections 9-333o to 9-333q, inclusive. A political committee organized for ongoing political activities may make contributions to a charitable organization which is a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code, as from time to time amended, or make memorial contributions.

(b) A political committee organized for ongoing political activities may receive contributions from the federal account of a national committee of a political party, but may not receive contributions from any other account of a national committee of a political party or from a committee of a candidate for federal or out-of-state office.

**§ 9-333u. Contributions made or received by committees established for a single primary or election.**

(a) A political committee established for a single primary or election may make unlimited contributions to, or for the benefit of, a party committee or a candidate committee, but no such political committee shall make contributions to a national committee, or a committee of a candidate for federal or out-of-state office. If such a political committee is established by an organization or a business entity, its contributions shall also be subject to the limitations imposed by sections 9-333o to 9-333q, inclusive. No political committee formed for a single election or primary shall, with respect to such election or primary make a contribution or contributions in excess of two thousand dollars to another political committee, provided no such political committee shall make a contribution in excess of two hundred fifty dollars to an exploratory committee.

(b) A political committee established for a single primary or election shall not receive contributions from a committee of a candidate for federal or out-of-state office or from a national committee.

**§ 9-333v. Contributions made or received by committees formed to promote success or defeat of referendum questions. Reporting requirements.**

(a) A political committee formed solely to aid or promote the success or defeat of a referendum question shall not make contributions to, or for the benefit of, a party committee, a political committee, a national committee, a committee of a candidate for federal or out-of-state office or a candidate committee, except in the distribution of a surplus, as provided in subsection (e) of section 9-333j.

(b) A political committee formed solely to aid or promote the success or defeat of a referendum question shall not receive contributions from a national committee or from a committee of a candidate for federal or out-of-state office.

(c) No person, as defined in subdivision (9) of section 9-333a, other than an individual or a committee, shall make a contribution to a political committee formed solely to aid or promote the success or defeat of a referendum question, or to any other person, as defined in subdivision (9) of section 9-333a, to aid or promote the success or defeat of a referendum question, in excess of ten cents for each individual residing in the state or political subdivision thereof in which such referendum question is to be voted upon, in accordance with the last federal decennial census.

(d) Any such person other than an individual or a committee which makes expenditures or has expenses incurred but not paid in excess of one thousand dollars in the state or political subdivision thereof in which a referendum question is to be voted upon, shall file all designations and sworn financial statements required to be filed by political committees and comply with all provisions of this chapter which apply to political committees.

**§ 9-333w. Political advertising.**

(a) No individual shall make or incur any expenditure with the cooperation of, at the request or suggestion of, or in consultation with any candidate, candidate committee or candidate's agent, and no candidate or committee shall make or incur any expenditure for any written, typed or other printed communication which promotes the success or defeat of any candidate's campaign for nomination at a primary or election or solicits funds to benefit any political party or committee unless such communication bears upon its face the words "paid for by" and the following: (1) In the case of such an individual, the name and address of such individual; (2) in the case of a committee other than a party committee, the name of the committee and its campaign treasurer; or (3) in the case of a party committee, the name of the committee.

(b) No business entity, organization, association, committee, or group of two or more individuals who have joined solely to promote the success or defeat of a referendum question and is required to file a certification in accordance with subsection (d) of section 9-333g, shall make or incur any expenditure for any written, typed or other printed communication which promotes the success or defeat of any referendum question unless such communication bears upon its face the words "paid for by" and the following: (1) In the case of a business entity, organization or association, the name of the entity, organization or association and the name of its chief executive officer; (2) in the case of a political committee, the name of the committee and the name

of its campaign treasurer; (3) in the case of a party committee, the name of the committee, or (4) in the case of such a group of two or more individuals, the name of the group as it appears on the certification filed in accordance with subsection (d) of section 9-333g, and the name and address of its agent.

(c) The provisions of subsections (a) and (b) of this section do not apply to (1) any editorial, news story, or commentary published in any newspaper, magazine or journal on its own behalf and upon its own responsibility and for which it does not charge or receive any compensation whatsoever, (2) any banner, (3) political paraphernalia including pins, buttons, badges, emblems, hats, bumper stickers or other similar materials, or (4) signs with a surface area of not more than thirty-two square feet.

(d) The campaign treasurer of a candidate committee which sponsors any written, typed or other printed communication for the purpose of raising funds to eliminate a campaign deficit of that committee shall include in such communication a statement that the funds are sought to eliminate such a deficit.

(e) The campaign treasurer of an exploratory committee or candidate committee established by a candidate for nomination or election to the office of treasurer which committee sponsors any written, typed or other printed communication for the purpose of raising funds shall include in such communication a statement concerning the prohibitions set forth in subsection (n) of section 1-84, subsection (f) of section 9-333n and subsection (f) of section 9-333o.

(f) In the event a campaign treasurer of a candidate committee is replaced pursuant to subsection (c) of section 9-333d, nothing in this section shall be construed to prohibit the candidate committee from distributing any printed communication subject to the provisions of this section that has already been printed or otherwise produced, even though such communication does not accurately designate the successor campaign treasurer of such candidate committee.

#### **§ 9-333x. Illegal practices.**

The following persons shall be guilty of illegal practices and shall be punished in accordance with the provisions of section 9-333y:

(1) Any person who, directly or indirectly, individually or by another person, gives or offers or promises to any person any money, gift, advantage, preferment, entertainment, aid, emolument or other valuable thing for the purpose of inducing or procuring any person to sign a nominating, primary or referendum petition or to vote or refrain from voting for or against any person or for or against any measure at any election, caucus, convention, primary or referendum;

(2) Any person who, directly or indirectly, receives, accepts, requests or solicits from any person, committee, association, organization or corporation, any money, gift, advantage, preferment, aid, emolument or other valuable thing for the purpose of inducing or procuring any person to sign a nominating, primary or referendum petition or to vote or refrain from voting for or against any person or for or against any measure at any such election, caucus, primary or referendum;

(3) Any person who, in consideration of any money, gift, advantage, preferment, aid, emolument or other valuable thing paid, received, accepted or promised to the person's advantage or any other person's advantage, votes or refrains from voting

for or against any person or for or against any measure at any such election, caucus, primary or referendum;

(4) Any person who solicits from any candidate any money, gift, contribution, emolument or other valuable thing for the purpose of using the same for the support, assistance, benefit or expenses of any club, company or organization, or for the purpose of defraying the cost or expenses of any political campaign, primary, referendum or election;

(5) Any person who, directly or indirectly, pays, gives, contributes or promises any money or other valuable thing to defray or towards defraying the cost or expenses of any campaign, primary, referendum or election to any person, committee, company, club, organization or association, other than to a campaign treasurer, except that this subdivision shall not apply to any expenses for postage, telegrams, telephoning, stationery, express charges, traveling, meals, lodging or photocopying incurred by any candidate for office or for nomination to office, so far as may be permitted under the provisions of this chapter;

(6) Any person who, in order to secure or promote the person's own nomination or election as a candidate, or that of any other person, directly or indirectly, promises to appoint, or promises to secure or assist in securing the appointment, nomination or election of any other person to any public position, or to any position of honor, trust or emolument; but any person may publicly announce the person's own choice or purpose in relation to any appointment, nomination or election in which the person may be called to take part, if the person is nominated for or elected to such office;

(7) Any person who, directly or indirectly, individually or through another person, makes a payment or promise of payment to a campaign treasurer in a name other than the person's own, and any campaign treasurer who knowingly receives a payment or promise of payment, or enters or causes the same to be entered in the person's accounts in any other name than that of the person by whom such payment or promise of payment is made;

(8) Any person who knowingly and wilfully violates any provision of this chapter;

(9) Any person who offers or receives a cash contribution in excess of one hundred dollars to promote the success or defeat of any political party, candidate or referendum question;

(10) Any person who solicits, makes or receives a contribution that is otherwise prohibited by any provision of this chapter;

(11) Any department head or deputy department head of a state department who solicits a contribution on behalf of, or for the benefit of, any candidate for state, district or municipal office or any political party; or

(12) Any municipal employee who solicits a contribution on behalf of, or for the benefit of, any candidate for state, district or municipal office, any political committee or any political party, from (A) an individual under the supervision of such employee, or (B) the spouse or a dependent child of such individual.

#### **§ 9-333y. Penalties.**

(a) Any person who knowingly and wilfully violates any provision of this chapter shall be fined not more than five thousand dollars or imprisoned not more than five years or both. The Secretary of the State or the town clerk shall notify the State

Elections Enforcement Commission of any such violation of which said secretary or such town clerk may have knowledge. Any such fine for a violation of any provision of this chapter applying to the office of the Treasurer shall be deposited on a pro rata basis in any trust funds, as defined in section 3-13c, affected by such violation.

(b) (1) If any campaign treasurer or lobbyist fails to file the statements required by section 9-333j or subsection (g) of section 9-333l, or if any candidate fails to file either (A) a statement for the formation of a candidate committee as required by section 9-333f, or (B) a certification pursuant to section 9-333e that the candidate is exempt from forming a candidate committee as required by section 9-333f, within the time required, the campaign treasurer, lobbyist or candidate, as the case may be, shall pay a late filing fee of one hundred dollars.

(2) In the case of any such statement or certification that is required to be filed with the Secretary of the State, the secretary shall, within ten days after the filing deadline is, or should be, known to have passed, notify by certified mail, return receipt requested, the person required to file that, if such statement or certification is not filed within twenty-one days after such notice, the person is in violation of section 9-333e, 9-333f or 9-333j or subsection (g) of section 9-333l. If the person does not file such statement or certification within twenty-one days after the secretary mails such notice, the secretary shall notify the State Elections Enforcement Commission within twenty-eight days after such notice.

(3) In the case of any such statement or certification that is required to be filed with a town clerk, the town clerk shall forthwith after the filing deadline is, or should be, known to have passed, notify by certified mail, return receipt requested, the person required to file that, if such statement or certification is not filed within seven days after the town clerk mails such notice, the town clerk shall notify the State Elections Enforcement Commission that the person is in violation of section 9-333e, 9-333f or 9-333j or subsection (g) of section 9-333l.

(4) The penalty for any violation of section 9-333e, 9-333f or 9-333j or subsection (g) of section 9-333l for which notice is provided to the State Elections Enforcement Commission by the Secretary of the State or the town clerk shall be a fine of not less than two hundred dollars nor more than two thousand dollars or imprisonment for not more than one year, or both.

#### **§ 9-346a. Preparation and distribution of forms; town clerk's fee.**

(a) The Secretary of the State shall prepare and print the forms required for compliance with this chapter and distribute them upon request to candidates and campaign treasurers.

(b) The Secretary of the State shall, at the expense of the state, prepare and print all forms for statements required to be returned under the provisions of this chapter and shall furnish to each town clerk a sufficient supply of each of such blank forms as are required to be filed with or returned to the town clerk. The town clerk of each town shall, upon request, distribute to campaign treasurers the forms required for compliance with this chapter and, if not salaried, shall be entitled to receive from the town the sum of ten cents for each copy.

#### **§ 9-346b. Powers of state referees and judges. Preservation of testimony. Witnesses. Expenses of inquiry.**

(a) Any state referee or any judge of the superior court may, upon the written request of any state's attorney or any assistant state's attorney, conduct an inquiry as to whether any crime has been committed concerning any matters mentioned in such request, within the jurisdiction of such state's attorney or assistant state's attorney making such request, and any such referee or judge, and any such state's or assistant state's attorney, may compel the attendance of any person as a witness by subpoena issued by him; and such person, having been sworn as a witness, may be examined relative to any such matter under investigation. Such referee, judge or attorney may also compel the production for examination at such inquiry of any books or papers or any other thing which he may require in the conduct of such inquiry by subpoena duces tecum issued by him. Such referee or judge may cause any person who fails to appear before him as a witness, having been summoned, to be brought before him by a capias issued by him; and any person in attendance as a witness who refuses to be sworn as a witness, or who, being sworn, refuses to answer any proper question propounded to him, and any person summoned who fails to appear before the referee or judge, may be adjudged guilty of contempt and fined not more than twenty-five dollars or imprisoned not more than thirty days or both. In any proceeding held under the provisions of this section, if any witness objects to testifying or to producing any book, paper or other thing on the ground that such testimony, book, paper or thing may tend to degrade or incriminate him or render him liable to a penalty or forfeiture, and such referee or judge directs or compels such witness to testify or to produce such book, paper or thing, he shall not be prosecuted for any matter concerning which he has so testified, or evidenced by such book, paper or thing so produced, except for perjury committed in so testifying.

(b) In the conduct of any such inquiry the referee, judge, state's attorney or assistant state's attorney may employ a competent stenographer to take notes of the examination of any witness, and may furnish a transcript of such notes to any prosecuting officer having jurisdiction of the subject matter of such inquiry. The referee or judge may require the attendance and assistance, at any such inquiry and in procuring the attendance of witnesses, of any state policeman, constable or police officer, who shall be allowed such compensation as the referee or judge deems reasonable.

(c) The referee, judge, state's attorney or assistant state's attorney shall return to the clerk of the superior court for the judicial district in which such inquiry is held an account of all expenses incurred in the discharge of the duties imposed by this section or required by this chapter, including witness fees, and shall endorse the same, if correct, or such items of the account as are correct, and the endorsed sums shall be paid by the state on the order of the clerk.

## **CHAPTER 150a: COMPUTERIZATION OF CAMPAIGN FINANCE STATEMENTS AND DATA**

### **§ 9-348ee. Filing of campaign finance statements in electronic form.**

(a) The Secretary of the State shall (1) not later than July 1, 1998, create a software program or programs for the preparation of financial disclosure statements required by section 9-333j, and (2) not later than July 1, 1999, prescribe the standard reporting format and specifications for other software programs created by vendors for such purpose, subject to the approval, for legal sufficiency, of the State Elections Enforcement Commission. No software program created by a vendor may be used for the electronic submission of such financial disclosure statements, until the Secretary of the State determines that the program provides for the standard reporting format, and complies with the specifications, which are prescribed under subdivision (2) of this subsection for vendor software programs. The secretary, in consultation with the commission, shall provide training in the use of the software program or programs created by the secretary.

(b) On and after January 1, 1999, the campaign treasurer of the candidate committee for each candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, State Treasurer or Secretary of the State who raises or spends two hundred fifty thousand dollars or more during an election campaign shall file in electronic form all financial disclosure statements required by said section 9-333j by either transmitting disks, tapes or other electronic storage media containing the contents of such statements to the office of the Secretary of the State or transmitting the statements on-line to said office. Each such campaign treasurer shall use either (1) a software program created by the Secretary of the State under subdivision (1) of subsection (a) of this section, for all such statements filed on or after January 1, 1999, or (2) another software program which provides for the standard reporting format, and complies with the specifications, which are prescribed by the secretary under subdivision (2) of subsection (a) of this section, for all such statements filed on or after July 1, 1999. The office of the Secretary of the State shall accept any statement that uses any such software program. Once any such candidate committee has raised or spent two hundred fifty thousand dollars or more during an election campaign, all previously filed statements required by said section 9-333j, which were not filed in electronic form shall be refiled in such form, using such a software program, not later than the date on which the campaign treasurer of the committee is required to file the next regular statement under said section 9-333j.

(c) On and after January 1, 1999, (1) the campaign treasurer of the candidate committee for any other candidate, as defined in section 9-333a, who is required to file the financial disclosure statements required by section 9-333j with the office of the Secretary of the State and (2) the campaign treasurer of any political committee or party committee, may file in electronic form any financial disclosure statements required by said section 9-333j. Such filings may be made by either transmitting disks, tapes or other electronic storage media containing the contents of such statements to the proper authority under section 9-333e or transmitting the statements on-line to such proper authority. Each such campaign treasurer shall use either (A) a software program created by the Secretary of the State under subdivision (1) of subsection (a) of this section, for all such statements filed in electronic form on or after January 1, 1999, or (B) another software program which provides for the standard reporting format, and complies with the specifications, which are prescribed by the secretary under subdivision (2) of subsection (a) of this section, for all such statements filed in electronic form on or after July 1, 1999. The proper authority under section 9-333e shall accept any statement that uses any such software program.

### **§ 9-348ff. Conversion of data from paper format to electronic format.**

On and after January 1, 2000, the Secretary of the State shall, within available appropriations, convert all data in statements required by section 9-333j that are filed in paper format on and after such date, to an electronic format and be authorized to use a portion of the funds for oversight of such conversion.

### **§ 9-348gg. Public access to computerized data from campaign finance statements.**

On and after January 1, 2000, the Secretary of the State shall make all computerized data from statements required by section 9-333j available to the public through (1) computer terminals in the Office of the Secretary of the State and, if feasible, at remote access locations and (2) the Internet or any other generally available on-line computer network.

This chapter applies to: (1) The election, and all primaries preliminary thereto, of all public officials, except presidential electors, United States senators and members in Congress, and (2) any referendum question. This chapter also applies, except for the provisions of sections 9-333m to 9-333v, inclusive, to persons who are candidates in a primary for town committee members.

**STATE ELECTIONS ENFORCEMENT COMMISSION**

**20 Trinity St. - Suite 101**

**Hartford, Ct 06106 - 1628**

**E-Mail: [HSEEC@po.state.ct.us](mailto:HSEEC@po.state.ct.us)**

**Tel. No. (860) 566-1776**

**Fax No. (860) 566-4402**

**Toll free (Outside of Hartford Area) 1 866 SEEC INFO**

**[Hwww.seec.state.ct.us](http://Hwww.seec.state.ct.us)**